

Staff TMF Capacity Evaluation Form for SDWSRF Noncommunity Systems

Department of Health Services
Drinking Water Field Operations Branch

Water System Name:	System No.:
Evaluation Performed By:	Date:

System Type: ☐ SRF Applicant Nontransient-noncommunity
 ☐ SRF Applicant Transient-noncommunity

Source Type: ☐ Surface Water
 ☐ Groundwater

Sources of Information:

- ☐ Department files.
- ☐ TMF Capacity Assessment Form. *Date of form:* _____
- ☐ Field Inspection. *Date of inspection:* _____
- ☐ Water System Personnel. *Provide Name(s) & Title(s):*

- ☐ Other: _____
- _____

Definitions:

NT = Nontransient-noncommunity Water System

T = Transient-noncommunity Water System

M = Mandatory. Compliance is required at the time of permit application or for SRF projects, prior to issuance of NOAA.

N = Necessary. Compliance will be required within a specified time frame.

N/A = Not Applicable. Compliance is not applicable.

Technical Capacity - Mandatory

A. System Description

	NT	T
SRF Applicants:	M ¹	M

1. Has the water system established a procedure to ensure "as-built" plans or drawings are prepared and maintained for all new facilities?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

2. Does the water system have a map showing the location of the system's existing service area, each water source, treatment facility, pumping plant, reservoir and pressure zone in the system?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

3. If the water system is expanding its service boundaries, does the service area map include the projected 10-year growth boundaries?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

4. For projects involving consolidation, has a map that delineates the service area of the proposed consolidation been developed?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe: _____

B. Consolidation/Restructuring

	NT	T
SRF Applicants:	M	M

1. Has the water system identified all existing public water systems located in the immediate proximity of the proposed water system?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

2. Has the water system examined the feasibility of incorporating into an existing water system or being owned, operated or managed by a satellite agency?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe: _____

C. Certified/Qualified Operators

	NT	T
SRF Applicants:	M	N

1. Does the water system comply with current state operator certification regulations?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

2. If the system is located in a remote area, and proposes to employ a person who holds or obtains a Restricted Operator Certificate as provided in Section 63825 of Title 22 of the California Code of Regulations, has the water system demonstrated that the person is qualified to operate the specific treatment and distribution facilities?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

3. If the water system has no treatment plant (i.e. distribution only), do they have operator(s) 'qualified' to operate the system in accordance with state requirements?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe: _____

Managerial Capacity - Mandatory

A. Ownership

	NT	T
SRF Applicants:	M	M

1. Is the water system ownership a legal entity empowered by the State of California to manage and operate the public water system?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

2. If the water system is under temporary ownership (e.g. a developer), has the eventual ownership and timing for the change in ownership been addressed?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

3. Are the duration of any agreements for use of land or facilities not owned by the water system sufficient to ensure that the water system can continue to operate its facilities, providing an uninterrupted and reliable source of water to its customers?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

4. In the case of a sole owner, has the water system adequately addressed how the system will continue to be operated in the event the owner becomes incapable of carrying out this responsibility?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

B. Organization

	NT	T
SRF Applicants:	M	M

1. Does the water system have an organization chart?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

2. Are there clear lines of responsibility and authority for those who are responsible for policy decisions, for ensuring compliance with state regulatory drinking water requirements and for day to day operations of the system?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

3. Do persons responsible have sufficient time dedicated to operation of the water system and all treatment facilities?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

4. Does the water system have enough operators to adequately operate all water system facilities?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

5. For systems with boards or councils, is the frequency of meetings adequate?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

6. If management and/or operation of the system are contracted, are the roles, responsibilities, and authorities clearly specified such that the water system can be reliably operated?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe: _____

C. Water Rights

	NT	T
SRF Applicants:	M	M

1. Does the water system have the legal basis and authority to divert or extract water?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

2. If the water system is extracting water from an adjudicated groundwater basin, has approval been demonstrated by confirming documents from the basin water master?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

3. Is the water right sufficient to provide water for current users?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

4. If needed, does the water system have an adequate plan and a schedule for obtaining additional water rights to serve customer growth projected for at least the next 10 years?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe: _____

Financial Capacity - Mandatory

A. Budget Projection

	NT	T
SRF Applicants:	M	M

1. Does the water system have a five-year projection of anticipated expenses?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

2. Does the five-year projection appear reasonable?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe: _____

Technical Capacity - Necessary

A. Operations Plan

	NT	T
SRF Applicants:	N	N

1. Does the water system have an acceptable operations plan that addresses how the system will be operated to comply with drinking water requirements and the waterworks standards?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

2. Does the plan adequately address the following elements:

- a) Operational objectives.
- b) Daily operational practices.
- c) Emergency operational practices
- d) Flushing dead-end mains.
- e) Reservoir inspections and cleaning.
- f) Main repair and replacements.

- g) Responding to consumer complaints.
- h) Maintenance and testing of backflow prevention devices.
- i) Inspecting and exercising water main valves.
- j) Maintenance of master flow meters.
- k) Responsibilities, qualifications, and training of operating personnel.
- l) Operation of all production, treatment, and transmission and distribution facilities.
- m) Record keeping.
- n) *If applicable*: A maintenance plan for all facilities to be constructed under the Drinking Water State Revolving Fund program.

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

3. For systems utilizing a surface water source: Does the water system have a Department approved Surface Water Treatment Rule (SWTR) operations plan?

☐ Yes ☐ No ☐ Information Insufficient ☐ Not Applicable

Comments: _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe: _____

Managerial Capacity - Necessary

A. Emergency/Disaster Response Plans

	NT	T
SRF Applicants:	N	N

1. Does the water system have an acceptable Emergency/Disaster Response Plan that addresses water outages, contamination, and other emergency situations that have historically occurred in the water system's service area?

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

2. Does the plan adequately address the following elements:

- a) All disasters/emergencies that have historically occurred in the water system's service area.

- b) Designation of responsible personnel and provision of a clear chain of command and responsibilities.
- c) Inventory of system resources that are used for normal operations and available for emergencies.
- d) Communication network that describes a designated location for an emergency operations center; emergency contact information for equipment suppliers; emergency phone and radio communication capabilities; coordination procedures with governmental agencies for health and safety protection, technical, legal and financial assistance; and public notification procedures.
- e) Emergency procedures to assess damage to water system facilities, analyze logistics on emergency supply activation and repairs, monitor progress of repairs and restoration, communicate with health officials and water users, and document damage and repairs.
- f) Steps that will be taken to resume normal operations and to prepare and submit reports to appropriate agencies.

Note: For noncommunity water systems – a plan for ceasing operation until the water system is restored would be an acceptable alternative to items b, c, and d.

☐ Yes ☐ No ☐ Information Insufficient

Comments: _____

Technical Assistance Needed: ☐ Yes ☐ No

Describe: _____

TMF Capacity Summary

- ☐ Water system has adequate TMF Capacity.
- ☐ Water system does not have adequate TMF Capacity, but can achieve it within a reasonable time period.
- ☐ Water system does not have adequate TMF Capacity. Operating permit and/or application for SRF funding should be denied.

Summary of Conclusions and Recommendations:

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List of Needed Technical Assistance:

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